



IFW

PATENT  
ATTORNEY DOCKET NO.: 46884-5429

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Seiichi NAGATA	)	Confirmation No.: 4585
	)	
Application No.: 10/551,195	)	Group Art Unit: Unassigned
	)	
Filed: September 29, 2005	)	Examiner: Unassigned
	)	
For: SILICON SUBSTRATE AND METHOD OF	)	
FORMING THE SAME	)	

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE**

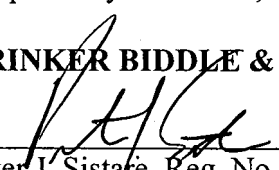
Sir:

In response to the Notification of Defective Response, dated April 9, 2007, Applicant re-submits the enclosed executed Declaration. This executed Declaration was previously filed on July 17, 2006 in response to the Notification of Missing Requirements dated May 17, 2006, as evidenced by the enclosed copy the Response to Notification of Missing Requirements filed on July 17, 2006 and the PTO-stamped postcard receipt.

If there are any further fees due in connection with the filing of this response, please charge the fees to our Deposit Account No. 50-0573.

Respectfully submitted,

**DRINKER BIDDLE & REATH LLP**

  
Peter J. Sistare, Reg. No. 48,183

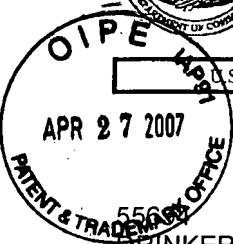
Date: April 27, 2007  
Customer No.: 55694  
DRINKER BIDDLE & REATH LLP  
1500 K Street, N.W., Suite 1100  
Washington, DC 20005-1209  
Tel: (202) 842-8800  
Fax: (202)-204-0289



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22304-4500  
www.uspto.gov

*Faiza 216387*  
*46884-5429*



U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
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10/551,195

Seichi Nagata

046124-5429

INTERNATIONAL APPLICATION NO.

PCT/JP04/04711

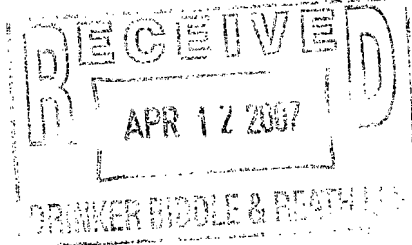
I.A. FILING DATE

PRIORITY DATE

03/31/2004

03/31/2003

BRINKER BIDDLE & REATH (DC)  
1500 K STREET, N.W.  
SUITE 1100  
WASHINGTON, DC 20005-1209



CONFIRMATION NO. 4585

371 FORMALITIES LETTER



\*OC000000023296252\*

Date Mailed: 04/09/2007

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Priority Document
- Copy of the International Application filed on 09/29/2005
- English Translation of the IA filed on 09/29/2005
- Copy of the International Search Report filed on 09/29/2005
- Preliminary Amendments filed on 09/29/2005
- Information Disclosure Statements filed on 07/17/2006
- Request for Immediate Examination filed on 09/29/2005
- U.S. Basic National Fees filed on 09/29/2005
- Priority Documents filed on 09/29/2005

Docketed

Attorney

Case

Due Date

Action

By

Chk

Applicant's response filed 07/17/2006 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 05/17/2006 have not been completed.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.

<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

LAMONT M HUNTER

Telephone: (703) 308-9140 EXT 201

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/551,195	PCT/JP04/04711	046124-5429

FORM PCT/DO/EO/916 (371 Formalities Notice)



# Drinker Biddle & Reath

A Pennsylvania Limited Liability Partnership L L P

Suite 1100  
1500 K Street, N.W.  
Washington, DC 20005-1209  
202-842-8800 Phone  
202-842-8465/66 Fax



The official date stamp of the United States Patent and Trademark Office hereon is acknowledgment of the receipt of:

## I. Application

- ☐ A. Application Transmittal
  - ☐ Provisional
  - ☐ Utility
  - ☐ Design
  - ☐ Plant
- ☐ B. Continuation/Divisional/Continuation-In-Part
  - ☐ § 1.53(b)
  - ☐ § 1.53 (f) – fee not included
- ☐ C. English Translation of Specification:  
\_\_\_\_\_ Sheet(s) (Plus Translation Verification Sheet)
- ☐ D. \_\_\_\_\_ Total Claim(s)
- ☐ E. \_\_\_\_\_ Sheets of Drawing(s)  
(containing \_\_\_\_\_ Figures)
- ☐ F. Small Entity
- ☒ G. Combined Declaration & Power of Attorney

## II. Prosecution Documents

- ☐ A. Notice of Appeal
- ☐ B. Preliminary Amendment
- ☐ C. Claim to Priority & Priority Document(s)
- ☒ D. Information Disclosure Statement
  - ☒ PTO Form 1449 – Including (22 references)

## III. Post Issuance

- ☐ A. \_\_\_\_\_ Maintenance Fee
- ☐ B. Request for Correction of Letters Patent

## IV. Recordation

- ☒ A. Assignment
- ☐ B. Security Interest Agreement (Number of Patents Covered: \_\_\_\_\_)
- ☐ C. Change of Name, Merger or Other Transfer Document (Number of Patents Covered: \_\_\_\_\_)
- ☒ D. PTO Recordation Form Cover Sheet

## VI. Payment

- ☒ Check No. 36645 for \$170.00
- ☐ Fee Transmittal PTO/SB/17
- ☐ Deposit Account No. \_\_\_\_\_ for \$ \_\_\_\_\_

## VII. Other

- ☒ A. Response to Notification of Missing Requirements
- ☒ B. Copy of Notification of Missing Requirements
- ☒ C. English translation of the International Preliminary Report on Patentability
- ☐ D. PCT/IB/308
- ☒ E. PCT/ISA/210 (International Search Report dated July 6, 2004)

Date:

Date:

Client No.:

Attorney Docket No./File No.:

Matter No.:

Title:

Inventor(s):

Application/Patent No.

Attorney:

Confirmation No.

Secretary:

July 17, 2006

46884

46884-5429

216387

SILICON SUBSTRATE AND METHOD OF FORMING THE SAME

Seiichi NAGATA

10/551,195

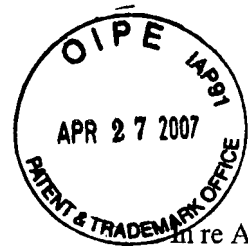
Peter J. Sistare

4585

F. Shahzadi

DOCKETED

BY LW DATE 7/18/06



PATENT  
Attorney Docket No.: 46884-5429

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Seiichi NAGATA

U.S. Application No.: 10/551,195

Filed: September 29, 2005

) Confirmation No.: 4585

) Group Art Unit: Unassigned

) Examiner: Unassigned

For: SILICON SUBSTRATE AND METHOD OF FORMING THE SAME

Commissioner of Patents  
**MAIL STOP PCT**

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**  
**UNDER 35 U.S.C. § 371 IN THE U.S. DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. This replies to the Notification of Missing Requirements (Form PCT/DO/EO/905) mailed May 17, 2006.

A copy of the Notification of Missing Requirements (Form PTC/DO/EO/905) is enclosed.

2. Declaration Or Oath

- ☒ No declaration or oath was filed. Enclosed is the original Combined Declaration and Power of Attorney.
- ☒ The specification attached to the declaration is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.
- ☐ The declaration or oath which was filed was determined to be defective. A new original Combined Declaration and Power of Attorney is attached.

3. English Translation of Non-English Language Papers

- ☐ Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.
- ☐ Also enclosed is the Verification of Translation Document

4. Small Entity Statement(s)

☐ Applicant(s) hereby assert small entity status.

## 5. Fee Calculation

Basic National Stage Fee:				Previously Paid
	Number Filed	Number Extra	at a Rate of	
Total Claims	12 -20 =	0	\$50.00 each=	Previously Paid
Independent Claims	2 - 3 =	0	\$200.00 each=	Previously Paid
Multiple dependent claim(s), if any			\$360.00	
Missing Requirements Surcharge Fee			\$130.00	\$130.00
Application Size Fee				
\$250.00 for each additional 50 sheets that exceeds 100				\$0.00
Application Search Fee			\$500.00	Previously Paid
Examination Fee			\$200.00	Previously Paid
SUB-TOTAL =				\$130.00
Fee For Application Filed With A Non-English Specification (37 C.F.R. § 1.17(k) and § 1.52(d))			\$130.00	\$0.00
Fee For Processing and retention of application (37 C.F.R. § 1.21(l) and § 1.53(d))			\$130.00	\$0.00
TOTAL FILING FEE =				\$130.00

## 6. Extension of Time

The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136(a) apply.

- ☐ Applicants petition for an extension of time, the fees for which are set out in 37 C.F.R. §§ 1.17(a)-(d), for the total number of months checked below:

	<u>Total Months Requested</u>	<u>Extension Fee</u>	<u>Extension Fee [Small Entity]</u>
<input type="checkbox"/>	One month	\$120.00	\$60.00
<input type="checkbox"/>	Two months	\$450.00	\$225.00
<input type="checkbox"/>	Three months	\$1,020.00	\$510.00
<input type="checkbox"/>	Four months	\$1,590.00	\$795.00
<input type="checkbox"/>	Five months	\$2,160.00	\$1,080.00

Extension of time fee due with this request: \$0.00

If an additional extension of time is required, please consider this a Petition therefor.

- ☒ Applicant believes that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

## 7. Fee Payment

The total fee due is:

Completion Fees	<u>\$130.00</u>
Assignment Fees	<u>\$40.00</u>
Total Fee Due	<u>\$170.00</u>

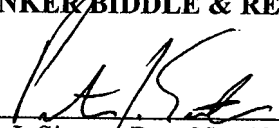
- ☒ A check in the amount of \$170.00 to cover the above fees is enclosed
- ☐ The Commissioner is hereby authorized to charge the total fee due to Deposit Account 50-0573.
- ☒ **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0573.

8. Additional papers enclosed.

- ☐ Form PCT/IPEA/409 (English Translation)
- ☐ Preliminary Amendment
- ☒ PCT/IB/338 English translation of the International Preliminary Report on Patentability
- ☒ PCT/ISA/210 (International Search Report dated July 6, 2004)
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449, 22 non-US patent documents as listed
- ☒ Assignment Recordation Cover Sheet (PTO Form-1595)
- ☒ Assignment of the invention to HAMAMATSU PHOTONICS K.K.

Respectfully submitted,

**DRINKER BIDDLE & REATH LLP**

  
Peter J. Sistare, Reg. No. 48,183

Date: July 17, 2006  
Customer No. 055694  
DRINKER BIDDLE & REATH LLP  
1500 K. Street, N.W., Suite 1100  
Washington, DC 20005-1209  
Tel: (202) 842-8800  
Fax: (202) 204-0289